



FOOD SECURITY EVALUATION

SUMMARY SHEET

		Ideal	Fair	Weakness	N/A
1.0	Food Security Programs				
2.0	Outside Grounds and Roof				
3.0	Employee and Visitor Programs				
4.0	Material Receiving				
5.0	Facility Operations				
6.0	Finished Goods Storage/Shipping				
	TOTAL				

Name of Company: _____

Date: _____

Auditor: _____

EVALUATION CRITERIA

		Rating	Comments
1.0	Food Security Programs		
1.1	Operational Risk Management (ORM) program completed for facility. (Documented)		
1.2	Crisis management team established. (Documented)		
1.3	Product recall program in place. (Documented)		
1.4	Mock recalls conducted by crisis management team on six-month frequency. (Documented)		
1.5	Food security responsibilities assigned to a specific individual or team. (Documented)		
1.6	Food security inspection conducted of facility, grounds, and systems on at least a quarterly basis. (Documented)		
1.7	List of key regulatory and law enforcement contacts. (Documented)		
1.8	Program to ensure security of incoming mail and packages. (Documented)		
1.9	Program to protect and back-up computer systems and documentation critical to food safety. (Documented)		
1.10	Company controlled off-site warehousing, manufacturing, and distribution included in food security programs.		
1.11	Customer/consumer complaint program established and procedures to investigate alleged tampering issues. (Documented)		
1.12	Written procedures and policies in place for a contracted security service. (Documented)		

EVALUATION CRITERIA

		Rating	Comments
2.0	Outside Grounds and Roof		
2.1	Secured perimeters to restrict access to the facility and related outbuildings.		
2.2	Security cameras utilized at key locations around facility and outbuildings.		
2.3	Regular patrols conducted of outside grounds and roof area. (Documented)		
2.4	Access restricted and locked to roof, silos, outbuildings (with food safety sensitive materials), bulk storage tanks, bulk receiving stations, etc.		
2.5	Potential “hiding” places for persons or intentional contaminants are minimized.		
2.6	Adequate exterior lighting provided around outside grounds to include parking lots, doorways, loading docks, bulk storage areas, silos, etc.		
2.7	System in place to control and identify vehicles authorized to enter and/or park on premises. (Documented)		
2.8	Program in place to address any unusual security issues noted on outside grounds. (Documented)		
2.9	Entrances to facility are minimized and monitored.		
2.10	Metal or metal clad doors utilized on entrances to facility.		

EVALUATION CRITERIA

		Rating	Comments
3.0	Employee and Visitor Programs		
3.1	Formal prehiring screening program in place for all employees and contracted persons. (Documented)		
3.2	No employees or contracted individuals working without prehiring screening program completed and approved. (Documented)		
3.3	Positive identification and recognition system in place for all employees entering the facility.		
3.4	System in place to restrict employee access inside and outside of facility to authorized areas.		
3.5	Employee training program in place to cover food security, including identification of potential signs and evidence of tampering. (Documented)		
3.6	Traffic patterns restricted to welfare areas for arriving employees.		
3.7	Employee welfare areas provided for storage of personal belongings.		
3.8	No evidence of personal belongings outside of designated areas.		
3.9	Formal uniform or outer garment program. (Documented)		
3.10	Employees not allowed outside of facility or designated outside break areas during work hours.		
3.11	Employee lockers in locker rooms and other personal storage areas inspected on a regular basis.		
3.12	Visitors, contractors, guests, etc. report to a designated entrance and sign in.		

		Rating	Comments
3.0	Employee and Visitor Programs (cont'd)		
3.13	Facility policies provided to visitors, contractors, guests, etc. and plant issued identification provided with date of issue and expiration.		
3.14	Visitors, contractors, guests, etc. comply with the company dress policy.		
3.15	Formal program to accompany visitors in facility and verify access to food sensitive areas.		

EVALUATION CRITERIA

		Rating	Comments
4.0	Material Receiving		
4.1	Suppliers provide evidence of food security programs. (Documented)		
4.2	Supplier (continuing) guarantees on file for all ingredients and packaging.		
4.3	Formalized ingredient and packaging testing programs are in place (in-house testing, outside testing, or certificates of analysis). (Documented)		
BULK RECEIVED MATERIALS (INGREDIENTS, CHEMICALS, GASES, ETC.) IF N/A, GO TO 4.12			
4.4	Written procedures in place to cover receipt of all bulk materials. (Documented)		
4.5	Arrival of truck at facility verified and driver identification verified. (Documented)		
4.6	Bill of lading and receiving documents verified. Should include material name, amount, amount of seals, and seal numbers.		
4.7	Truck and trailer inspection conducted by trained facility personnel. (Documented)		
4.8	Unloading equipment (hoses, pipes, caps, augers, etc.) is secured and inspected prior to use.		
4.9	Unloading process is conducted in a secured area or monitored during entire process.		
4.10	Trailer is inspected after unloading and all unloading equipment resecured.		
4.11	Amount of product received is verified against the receiving document.		
NONBULK RECEIVED MATERIALS			
4.12	Written procedures in place to cover receipt of all received materials. (Documented)		
4.13	Arrival of truck at facility verified and driver identification verified. (Documented)		

		Rating	Comments
4.0	Material Receiving (cont'd)		
4.14	Bill of lading and receiving documents verified. Should include material name, amount of material, amount of seals, seal numbers, lot numbers, etc.		
4.15	Truck and/or trailer inspection conducted by trained facility personnel before and after unloading. (Documented)		
4.16	Product(s), amount, labels, lot numbers, etc. verified at time of receipt. (Documented)		
4.17	Procedures in place for handling damaged or rejected materials. (Documented)		
4.18	Less-than-load (LTL) shipments have a food security system in place. To include ingredients, maintenance, sanitation, pest control, laboratory, and other received items.		
4.19	Written procedures to address quarantine and release, irregularities in amounts outside a predetermined range, evidence of tampering, or counterfeiting of goods received.		
4.20	Tamper-resistant/-evident packaging required for received materials, when feasible.		

EVALUATION CRITERIA

		Rating	Comments
5.0	Facility Operations		
5.1	Assessment conducted to indicate sensitive areas, such as materials storage, water supply, steam, compressed air, ice system, air supply, mixing, batching, production, etc. (Documented)		
5.2	Access restricted to authorized individuals in sensitive areas identified in assessment.		
5.3	Water supply and related critical components (storage tanks, backflow preventers, filters, etc.) are secured.		
5.4	Water potability testing conducted on a regular and random basis. (Documented)		
5.5	Water treatment and/or filter systems monitored on a regular basis. (Documented)		
5.6	Formal plan to address and react to a possible water safety issue. (Documented)		
5.7	Air supply systems into facility inspected and/or tested on a regular basis.		
5.8	Appropriate access control, CCTV monitoring, and/or supervision present at key manufacturing or storage locations.		
5.9	Access to bulk ingredient, gas, or chemical storage vessels are controlled to limit unauthorized access to hatches, filters, vents, etc.		
5.10	Physical barriers in place and/or access restricted to hazardous compounds, such as nitrite, cleaning and sanitizing chemicals, maintenance chemicals, pesticides, etc.		

		Rating	Comments
5.0	Facility Operations (cont'd)		
5.11	Controls in place to prevent intentional contamination by contractors of maintenance, pest control, or sanitation crews.		
5.12	Program to identify any sampled or opened ingredient containers. Employees aware of program and understand procedures to follow if not properly identified. (Documented)		
5.13	Traceability provided for all ingredients, direct contact packaging and rework. (Documented)		
5.14	Access to food safety manufacturing components limited and controlled (retort controls, pasteurizer controls, heat control components, etc.).		
5.15	Unprocessed goods segregated from processed goods and a program to prevent deliberate mixing of these goods.		
5.16	Food safety detection devices monitored and inspected on a regular frequency to ensure proper function.		
5.17	Tamper-resistant/-evident packaging and/or seals provided for finished goods.		
5.18	All finished goods have appropriate lot identification.		
5.19	Labels held in a secure area.		
5.20	Program to destroy all obsolete or defective labels.		
5.21	Labels provided on containers are verified.		

		Rating	Comments
5.0	Facility Operations (cont'd)		
5.22	Equipment design evaluated to minimize possible product tampering.		
5.23	In-house laboratories secured and access restricted to authorized personnel.		
5.24	Positive control cultures of pathogens kept under lock and key.		

EVALUATION CRITERIA

		Rating	Comments
6.0	Finished Goods Storage/Shipping		
6.1	Finished goods appropriately segregated from raw materials or hazardous chemicals.		
6.2	Quantities of finished goods are tracked and program in place to investigate missing or extra stock.		
6.3	Public storage warehousing and shipping companies utilized by the facility practice food security. (Documented)		
6.4	Written procedures for inspection of all vehicles prior to loading (bulk and nonbulk).		
6.5	Inspection conducted of all outbound vehicles prior to loading. (Documented)		
6.6	Wash certificates and/or seals verified with trailers.		
6.7	Trailer sweepings or other removed materials handled appropriately.		
6.8	Amounts and lot numbers of materials verified during loading.		
6.9	Driver identification verified. (Documented)		
6.10	Security of trucks and trailers maintained during transport to include multiple stops or deliveries.		